Attachment H

Proposal # 2001-A201 (Office Use Only)

PSP Cover Sheet (Attach to the front of each proposal)

Proposal Title: Phase 2 Stockton Channel Water Quality Restoration Study

Applicant Name: City of Stockton

Contact Name: Dr. Wayne S. Smith

Mailing Address: 425 N. El Dorado Street Stockton, CA 95202-1997

Telephone: (209) 937-7900

Fax: (209) 937-7115

Email: Wayne.Smith@ci.Stockton.ca.us

Amount of funding requested: $350,000

Some entities charge different costs dependent on the source of the funds. If it is different for state or federal funds list below.

State cost Same Federal cost Same

Cost share partners? ___Yes __X_No

Identify partners and amount contributed by each

Indicate the Topic for which you are applying (check only one box).

- ☒ Natural Flow Regimes
- ☐ Nonnative Invasive Species
- ☐ Channel Dynamics/Sediment Transport
- ☐ Flood Management
- ☐ Shallow Water Tidal/ Marsh Habitat
- ☐ Contaminants
- ☐ Beyond the Riparian Corridor
- ☐ Local Watershed Stewardship
- ☐ Environmental Education
- ☐ Special Status Species Surveys and Studies
- ☐ Fishery Monitoring, Assessment and Research
- ☐ Fish Screens

What county or counties is the project located in? San Joaquin County

What CALFED ecozone is the project located in? See attached list and indicate number. Be as specific as possible 11, Stockton

Indicate the type of applicant (check only one box):

- ☐ State agency
- ☐ Public/Non-profit joint venture
- ☒ Local government/district
- ☐ University
- ☐ Other:
- ☐ Federal agency
- ☐ Non-profit
- ☐ Tribes
- ☐ Private party

Indicate the primary species which the proposal addresses (check all that apply):

- ☐ San Joaquin and East-side Delta tributaries fall-run chinook salmon
- ☐ Winter-run chinook salmon
- ☐ Late-fall run chinook salmon
- ☒ Delta smelt
- ☐ Splittail
- ☐ Green sturgeon
- ☒ White Sturgeon
- ☐ Waterfowl and Shorebirds
- ☐ Migratory birds
- ☐ Other listed T/E species: _____
- ☐ Spring-run chinook salmon
- ☐ Fall-run chinook salmon
- ☐ Longfin smelt
- ☐ Steelhead trout
- ☐ Striped bass
- ☐ All chinook species
- ☒ All anadromous salmonids
- ☐ American shad

Indicate the type of project (check only one box):

- ☐ Research/Monitoring
- ☒ Pilot/Demo Project
- ☐ Full-scale Implementation
- ☐ Watershed Planning
- ☐ Education

Is this a next-phase of an ongoing project? Yes X No ___
Have you received funding from CALFED before? Yes ___ No X

If yes, list project title and CALFED number_____

Have you received funding from CVPIA before? Yes ___ No X

If yes, list CVPIA program providing funding, project title and CVPIA number (if applicable):

_____

By signing below, the applicant declares the following:

- The truthfulness of all representations in their proposal;
- The individual signing the form is entitled to submit the application on behalf of the applicant (if the applicant is an entity or organization); and
- The person submitting the application has read and understood the conflict of interest and confidentiality discussion in the PSP (Section 2.4) and waives any and all rights to privacy and confidentiality of the proposal on behalf of the applicant, to the extent as provided in the Section.

Dwane Milnes
Printed name of applicant

Signature of applicant

Environmental Compliance Checklist

All applicants must fill out this Environmental Compliance Checklist. Applications must contain answers to the following questions to be responsive and to be considered for funding. *Failure to answer these questions and include them with the application will result in the application being considered nonresponsive and not considered for funding.*

1. **Do any of the actions included in the proposal require compliance with either the California Environmental Quality Act (CEQA), the National Environmental Policy Act (NEPA), or both?**

   X
   YES _____ **NO**

2. **If you answered yes to # 1, identify the lead governmental agency for CEQA/NEPA compliance.**

   City of Stockton
   Lead Agency

3. **If you answered no to # 1, explain why CEQA/NEPA compliance is not required for the actions in the proposal.**

4. **If CEQA/NEPA compliance is required, describe how the project will comply with either or both of these laws. Describe where the project is in the compliance process and the expected date of completion.** The project provides funds to hire a professional environmental compliance firm to perform environmental assessments and subsequent EIR/EIS studies. Since this Phase 2 is not currently underway, the compliance process has not yet been started. It is anticipated that the compliance process will start in December 2000, and it is anticipated it will be completed in August 2001.

5. **Will the applicant require access across public or private property that the applicant does not own to accomplish the activities in the proposal?**

   _____ **YES** X **NO**

   If yes, the applicant must attach written permission for access from the relevant property owner(s). Failure to include written permission for access may result in disqualification of the proposal during the review process. Research and monitoring field projects for which specific field locations have not been identified will be required to provide access needs and permission for access with 30 days of notification of approval.

6. **Please indicate what permits or other approvals may be required for the activities contained in your proposal. Check all boxes that apply.**

LOCAL		
Conditional use permit	___	
Variance	___	
Subdivision Map Act approval	___	
Grading permit	___	
General plan amendment	___	
Specific plan approval	___	
Rezone	___	
Williamson Act Contract cancellation	___	
Other _____ (please specify)		
None required	X	
STATE		
CESA Compliance	___	**(CDFG)**
Streambed alteration permit	X	**(CDFG)**
CWA § 401 certification	X	**(RWQCB)**
Coastal development permit	___	**(Coastal Commission/BCDC)**
Reclamation Board approval	___	
Notification	X	**(DPC, BCDC)**
Other _____ (please specify)		
None required	___	
FEDERAL		
ESA Consultation	X	**(USFWS)**
Rivers & Harbors Act permit	X	**(ACOE)**
CWA § 404 permit	X	**(ACOE)**
Other _____ (please specify)		
None required	___	

DPC = Delta Protection Commission
CWA = Clean Water Act
CESA = California Endangered Species Act
USFWS = U.S. Fish and Wildlife Service
ACOE = U.S. Army Corps of Engineers

ESA = Endangered Species Act
CDFG = California Department of Fish and Game
RWQCB = Regional Water Quality Control Board
BCDC= Bay Conservation and Development Comm.

Land Use Checklist

All applicants must fill out this Land Use Checklist for their proposal. Applications must contain answers to the following questions to be responsive and to be considered for funding. *Failure to answer these questions and include them with the application will result in the application being considered nonresponsive and not considered for funding.*

1. **Do the actions in the proposal involve physical changes to the land(i.e. grading, planting vegetation, or breeching levees) or restrictions in land use (i.e. conservation easement or placement of land in a wildlife refuge)?**

   _____ **YES** X **NO**

2. **If NO to # 1, explain what type of actions are involved in the proposal (i.e., research only, planning only).**
   Implementation of the preferred alternative will improve water quality without physically changing the land.

3. **If YES to # 1, what is the proposed land use change or restriction under the proposal?**

4. **If YES to # 1, is the land currently under a Williamson Act contract?**

   _____ **YES** _____ **NO**

5. **If YES to # 1, answer the following:**

   Current land use _____
   Current zoning _____
   Current general plan designation _____

6. **If YES to #1, is the land classified as Prime Farmland, Farmland of Statewide Importance or Unique Farmland on the Department of Conservation Important Farmland Maps?**

   _____ **YES** _____ **NO** _____ **DON'T KNOW**

7. **If YES to # 1, how many acres of land will be subject to physical change or land use restrictions under the proposal?**
   _____

8. **If YES to # 1, is the property currently being commercially farmed or grazed?**

   _____ **YES** _____ **NO**

9. **If YES to #8, what are** **the number of employees/acre**_____
   the total number of employees _____

10. Will the applicant acquire any interest in land under the proposal (fee title or a conservation easement)?

_____	X
YES	NO

11. What entity/organization will hold the interest?_____

12. If YES to # 10, answer the following:

Total number of acres to be acquired under proposal	_____
Number of acres to be acquired in fee	_____
Number of acres to be subject to conservation easement	_____

13. For all proposals involving physical changes to the land or restriction in land use, describe what entity or organization will:

manage the property	_____
provide operations and maintenance services	_____
conduct monitoring	_____

14. For land acquisitions (fee title or easements), will existing water rights also be acquired?

_____	X
YES	NO

15. Does the applicant propose any modifications to the water right or change in the delivery of the water?

_____	X
YES	NO

16. If YES to # 15, describe_____

EXECUTIVE SUMMARY

Stockton Channel Water Quality Restoration Project, Requesting $350,000

City of Stockton, 425 N. El Dorado St., Stockton, CA 95202-1997
Telephone: (209) 937-7900, Fax: (209) 937-7115, E-mail: wayne.smith@ci.stockton.ca.us
City of Stockton

The project is located in San Joaquin County, ecozone 11. The exact project site is within the Stockton Channel, a slough that extends from the confluence of the San Joaquin River near the Port of Stockton to McLeod Lake near downtown Stockton. While the primary area of concern is the portion of the Channel east of the Interstate 5 over crossing, the area west of Interstate 5 to the junction of the San Joaquin River is also of concern and part of the study area.

The objective of this project is to restore water quality to the Stockton Channel by eliminating algae blooms. The City is currently performing the Phase 1 study to identify the preferred alternative. Phase 2 of the study will provide all design, environmental, and permitting documents necessary to construct the project.

Phase 2 involves developing environmental compliance documentation by performing environmental impact analyses; designing the preferred alternative identified in Phase 1 (e.g., engineering/implementation plans); obtaining implementation permits by coordinating the City's efforts with local, state, and federal agencies; and performing a pilot study of the preferred alternative to evaluate effectiveness prior to full-scale implementation.

The hypothesis for Phase 2 is that the preferred alternative can be designed such that when it is constructed/implemented it can effectively improve the Channel's water quality by eliminating algae blooms. It is expected that the design of the preferred alternative will perform satisfactorily in the pilot study and upon full-scale implementation.

This project is designed to specifically address the ERP goals of improving water quality and rehabilitating the natural flow regime. Essentially, the project seeks to improve water quality by installing systems that will eliminate algae blooms through increased mixing and/or circulation. Aquatic species in the Channel, and those in the San Joaquin River and eastern Delta (e.g., Delta smelt, white sturgeon, anadromous salmonids, etc.), will directly benefit from the project since the improvement in water quality will result in improved habitat.

Mixing or circulation is expected to increase the dissolved oxygen level within the water column. It is also expected to increase the interaction between the Channel water and that of the San Joaquin River and eastern Delta. Therefore, water with higher levels of dissolved oxygen will be combined with the low dissolved oxygen waters of the San Joaquin River as identified in the 2001 CALFED ERP Proposal Solicitation Package. Consequently, species in the Channel, the San Joaquin River, and the eastern Delta will benefit from improving the Channel's aquatic environment.

Improved water quality should help increase the population sizes of native, threatened, and endangered species around the Channel-San Joaquin River-eastern Delta area. Subsequently, the future need for listing threatened and endangered species should be reduced.

PROJECT DESCRIPTION

Statement of the Problem

The City is seeking to implement an alternative that will improve water quality in the Stockton Channel. During some summer months water quality conditions create blue-green algae blooms and associated odor problems that restrict the full use of the Stockton Channel, Weber Point, and McCleod lake areas. This aspect of poor water quality represents the problem that this project is designed to solve. Stockton's Waterfront Committee, charged with overseeing the redevelopment and improvement of the Channel's waterfront, identified the negative odors and aesthetics associated with the blue-green algae as the most important and pressing water quality concern.

Past Studies

According to the Montgomery Watson report, "Alternative Water Quality Improvement Technologies for the Weber Point Area", June 1997, water quality problems are the result of excessive nutrient additions coupled with the shallow region in and around McCleod Lake and minimal freshwater input. These conditions allow nuisance algae to grow, eventually die, and emit odors during decomposition. This report discussed the effectiveness of 7 alternatives, most of which were designed to modify Channel flow dynamics. The alternatives were Channel flushing, adding air and/or recirculating water, adding chemical or biological compounds, reconfiguring the Channel, and controlling nutrient input. After analyzing these alternatives, it was recommended that the City implement a source control program to eliminate boat discharges at the Marina, a source control program to reduce nutrients in storm water discharges, and design and install a Channel aeration/mixing system. In addition, it was recommended that the City continue sampling the Channel and develop a watershed management plan.

A subsequent study by Systech Engineering, "Alternatives to Eliminate Excessive Blue-Green Algae at Weber Point of Stockton Channel", May 1999, found that there was also a horizontal temperature trend and vertical stratification in the Channel. Moreover, the water temperature at McCleod Lake can be warmer than the San Joaquin River confluence by 2 to 3 degrees Celsius. These conditions, along with those identified and described by Montgomery Watson, create a favorable environment for the growth of blue-green algae. The Systech study was designed to model the environmental and biochemical interactions that combine to produce poor water quality and ultimately blue-green algae. Then, through computer modeling, the study identified and recommended engineering alternatives to restore water quality. To simulate the stratified conditions contributing to algal blooms, Systech used the City's San Joaquin River Model to set the boundary conditions for McCleod Lake before stratification. A stratified lake model was then used to simulate the stratified conditions of the Channel and determine the water quality and extent of resulting algal blooms. Using the calibrated lake model, Systech modeled the effectiveness of 5 alternatives identified by Montgomery Watson. The alternatives included Channel flushing, Channel circulation, surface mixing, aeration, and surface skimming. It was recommended that the City employ either the surface mixing or skimming alternative.

The City of Stockton received a $650,000 grant from US EPA to continue studying techniques that can restore the water quality of the Stockton Channel. A contract has been awarded to HDR Engineering to complete Phase 1 of a more detailed study. The 4 major tasks in Phase 1 include outreach to establish project goals, tracer and nutrient investigations to further quantify water movement and quality, a feasibility analysis of the environmental and permitting constraints of

alternatives, and a recommendation of the preferred alternative. The Phase 1 study is scheduled to be completed in 8 months (December, 2000).

Objective

The proposed project has 4 components that make up what is foreseen as Phase 2 of the HDR Engineering study. First, the project will result in the final engineering design of the implementation plan that will be used to improve Channel water quality. Second, the project will result in the final environmental documents and/or mitigation plans required to comply with CEQA and NEPA and construct or implement the preferred alternative. Third, the project will obtain the permits required to construct or implement the preferred alternative. Finally, a pilot study of the preferred alternative will be performed to evaluate its effectiveness prior to full-scale implementation. Data resulting from the pilot study will be used to modify and refine the design of the full-scale alternative.

Conceptual Model

The proposed work is based upon the results of two scientific analyses performed by Montgomery Watson and Systech Engineering, respectively, and anticipates the forthcoming results of the current Phase 1 HDR Engineering study to design the preferred alternative. The Montgomery Watson analysis characterized the Channel's water quality problem by first identifying the community's perception of the problem and their immediate concerns. Then data was gathered from the Central Valley Regional Water Quality Control Board and Stockton's Regional Wastewater Treatment Plant's 1996-1997 Channel sampling programs to assess the analytical characteristics that comprise poor water quality. This data, along with a site assessment, provided information on system characteristics such as freshwater input from Mormon Slough, storm runoff, tidal influence and circulation, water temperature and depth, pH, dissolved oxygen, carbon dioxide concentration, ammonia concentration, dissolved reactive phosphorous, nitrate, organic nitrogen, total residue, total volatiles residue, total organic carbon, green algae content, blue-green algae content, and odor generation.

While this data could not fully characterize the physical, chemical, and biological characteristics of the system, it provided enough insight to generate alternatives to improve water quality. It was recommended that the City implement a source control program to eliminate boat discharges at the Marina, a source control program to reduce nutrients in storm water discharges, and design and install a Channel aeration/mixing system. Additionally, it was recommended that the City continue to collect water quality data and develop a watershed management plan.

The Systech Engineering analysis combined the data and results presented in the Montgomery Watson report with additional sampling data collected by Systech. The additional sampling collected temperature, pH, ammonia-N, nitrate-nitrite, total phosphorous, chlorophyll-a, and tidal dispersion profile data at four sampling points in the Channel. This data was combined with rainfall, solar radiation, air and water temperature, San Joaquin River flow, and sediment data (e.g., IDOD, SBOD, and total solids). The combined data was then loaded into a one-dimensional (vertical) lake model. The model evaluated and described the various components that combine to form a favorable environment for substantial blue-green algal growth and provided estimates of the algal response to various changes in the system.

The model was then used to evaluate the effectiveness of Montgomery Watson's recommended alternatives. It was determined that surface mixing or skimming were most effective in the simulation. Thus, it was recommended that the City implement either of these alternatives.

In Phase 1 (currently underway), HDR Engineering will refine the water quality problem definition through outreach and gather additional water quality data to supplement the information described in the Montgomery Watson and Systech reports. Outreach will establish project goals by soliciting insight from local civic and environmental organizations, government officials, property owners, Port of Stockton staff, marina residents, eyewitnesses, the Waterfront Vision and Action Plan, and the like. In addition, a newsletter describing the project and the results of Phase 1 will be distributed to the community. HDR Engineering will also conduct Tracer and Nutrient investigations to refine the character and distribution of water quality components (e.g., temperature, depth, EC, DO, pH, TSS, N, P, chlorophyll-a). Rhodamine dye tracer, an SBE-25 profiler, and a Sontek device will be used to determine the Channel's vertical water quality, stratification profile, and tidal flushing action. Nutrient input from marina and storm water discharges will be quantified through composite sampling around discharge pipes. HDR Engineering will then identify and analyze the feasibility of alternative solutions. Feasibility will be based upon an alternative's environmental and permitting constraints, ability to improve water quality, and cost. The results of Phase 1 and its recommend preferred alternative will be presented to the City. The Stockton City Council must approve and adopt a preferred alternative before Phase 2, final alternative design/implementation planning, environmental compliance documentation, permitting, and pilot testing can proceed. The proposed project would provide funding to conduct Phase 2 of the HDR study.

Hypotheses Being Tested

The principal hypotheses tested by Montgomery Watson, Systech Engineering reports, and throughout Phase 1, were that algal blooms were a reasonable indicator of poor water quality; and that engineering solutions could effectively improve water quality and reduce algal blooms.

The hypothesis in Phase 2 is that the preferred alternative identified in Phase 1 can be designed such that when it is constructed/implemented it can effectively improve the Channel's water quality. This hypothesis can be tested by the pilot study task of Phase 2 and post-construction/ implementation water quality monitoring in a future Phase 3 study. The study results and monitoring data would be compared to the data collected in Phase 1, the results from the control portion of the pilot study, and a surrogate measure such as Carlson's Trophic State Index.

Post-construction/implementation monitoring efforts would have to gather at least a portion of the data characterizing the Channel (e.g., water temperature and depth, pH, dissolved oxygen, carbon dioxide, ammonia, nitrate, etc.).

Relation to CALFED Goals

This project relates directly to several CALFED goals. The project is specifically designed to improve the water quality and aquatic habitat of the Stockton Channel, which connects to both the San Joaquin River and the Eastern Delta. The benefits of improving this habitat are threefold. First, aquatic species in the Channel will directly benefit from an improvement in water quality, and the ecological functions in the Channel will improve. Species that use the Channel as spawning grounds, or as a route to spawning grounds, will also benefit from the improvement.

Second, improved water quality increases the beneficial uses of the water within and adjacent to the Channel. The water will be more aesthetically pleasing, and offensive odors will be reduced. This will encourage redevelopment activities along the waterway and improve the quality of boating, events held at the Weber Point entertainment complex, and fishing opportunities.

Third, since it is highly likely that the preferred alternative identified in Phase 1 will involve mixing or increased water circulation, the dissolved oxygen level within the water column is expected to increase. Moreover, the mixing or circulation is expected to increase the interaction between the Channel water and that of the San Joaquin River and eastern Delta in general. Therefore, water with higher levels of dissolved oxygen will be combined with the low dissolved oxygen waters of the San Joaquin River as identified in the 2001 CALFED ERP Proposal Solicitation Package. This interaction will likely prove beneficial not only to species living in all of these areas, but also to species that migrate throughout these waters. The interaction may also benefit the San Joaquin River Dissolved Oxygen (DO) TMDL process, which is currently underway and funded by a CALFED grant. Furthermore, downstream communities will receive higher quality water for environmental restoration, drinking, and crop irrigation.

Improvement in Knowledge

Phase 1 will increase the quality and quantity of knowledge about the Channel and the biochemical interactions that occur within it. The reports by Montgomery Watson and Systech Engineering synthesized a wealth of information. The Phase 1 HDR Engineering report is expected to do the same, greatly increasing the data that characterizes the Channel system and providing a conceptual design of the preferred alternative along with cost estimates, potential environmental concerns, permitting requirements, and a pilot study scope.

The pilot study in Phase 2 will similarly increase the body of knowledge. Regardless of whether it is successful, the pilot study will provide additional data describing the Channel system and its response to engineered solutions. The proposed Phase 2 study will conclude with the City Council's approval of final design documents, environmental documents, construction and/or implementation permits, and pilot study results.

The successful construction or implementation of the preferred alternative and subsequent effectiveness monitoring will also add to the existing pool of knowledge. Such monitoring will provide further insight into the effects of engineering techniques upon unique systems over longer time periods and may facilitate on-going water quality sampling and the development of innovative water quality restoration solutions.

Adaptive Management

Phase 2 is based solely upon the hierarchy of knowledge described above and the outcome of Phase 1. To enhance the technical staff's understanding of the Channel ecosystem and environmental interactions, extensive sampling projects were undertaken by both the City and its consultants. Existing data was also reviewed and compiled to ensure sufficient information had been accumulated to develop a conceptual model that could solve the problem by achieving the goals and objectives of the community.

The conceptual model will then be used in computer simulations to determine whether enough data was available to not only understand the system interactions, but also describe them using

limited input characteristics. The simulations will also be used to project the degree to which the community's goals and objectives could theoretically be met.

Prior to the full-scale implementation, the pilot study will provide an assessment of potential success or failure. Based upon the study results, management can assess the system's actual, rather than theoretical, response and alter or redesign the full-scale alternative to insure success.

The Scientific Method

Data analyses, particularly the Systech Engineering modeling, have employed the scientific method whereby hypotheses were made regarding the effectiveness of various solution alternatives. These alternatives were modeled using the available data and analyzed in terms of whether and how well they confirmed the hypotheses. The ongoing Phase 1 HDR study will expand and model further details of the proposed alternatives. Therefore, management direction will be a function of this scientific modeling.

Moreover, the pilot study in Phase 2 will also follow the scientific method. The experimental hypothesis will be that the pilot project can improve water quality as determined by the occurrence of blue-green algal blooms and the reduction of bloom precursors. Field data will be gathered and analyzed to determine whether there is significant evidence supporting the hypothesis.

Phase 2 Justification

It is the City's belief that, following the completion of Phase 1, a suitable alternative will be identified to begin Phase 2. Technical reports regarding the system and solution alternatives have already been produced by Montgomery Watson and Systech Engineering, respectively. Moreover, a substantial quantity of data has been incorporated into these reports and their evaluations. Thus, after Phase 1 is complete and HDR Engineering has submitted its report and recommendation of the preferred alternative, the City believes it will be in a position to begin the final design, environmental documentation, permitting, and pilot study activities of Phase 2.

Educational Objectives

The entire project is based upon achieving several of the Ecosystem Restoration Program (ERP) goals. Therefore, by notifying the community that CALFED is funding a project to improve water quality, and subsequently, the health and quantity of aquatic species, ecosystem processes, and at-risk and harvestable species, the ERP goals will be highlighted.

Public meetings will also be held to inform members of the public of the project, its focus on meeting the ERP goals, and to encourage involvement. The meetings will be informal and held in an open-house type format in the early evening. This format allows individuals to examine displays and engage in in-depth discussions with project engineers on issues of particular interest to them. A professional public relations firm will be used to organize the meetings; provide agendas, comment cards, and other supplies; coordinate the preparation of handouts and displays; and work with the City to develop interactive presentations. The public relations firm will also assist with recording public comments, facilitating responses, and preparing meeting minutes. As mentioned, Phase 2 involves preparing the environmental documents required for construction or implementation. Thus the proposed action will undergo the scrutiny of all affected public agencies. In addition, during the preparation of the environmental documents, the City will again solicit the community's input and concerns surrounding the project. Key stakeholders and

influential members of the community, such as the Delta Keeper environmental organization, will be contacted. A database of civic and environmental organizations, marina residents, elected officials, government staff, adjoining property owners, Port of Stockton staff, eyewitnesses, etc. will be established and used to facilitate the exchange of information with the community.

The potential audience size is in the hundreds, and is expected to reflect the diversity of the people listed in the solicitation database. It is critical that the City obtain input from this audience to ensure that the community's goals and objectives in solving the water quality problem correspond to the goals and objectives identified in Phase 1. Furthermore, these goals and objectives will be used to measure the efficacy of the project. For instance, if the goal is to improve water quality such that nuisance algal blooms no longer occur, then efficacy will be based upon whether such blooms occur. Thus, the effectiveness of the completed project is a function of the community's perception of the water quality improvement achieved.

PROPOSED SCOPE OF WORK

Location and/or Geographic Boundaries of the Project

The project is located in San Joaquin County, which corresponds to ecozone 11. A USGS quad map (approximately 1:24,000 scale) of the project area is included in Exhibit 1. The project area may be found on a geographic information system using the California Plane Coordinates X:6325968, Y:2170346. The approximate geographic coordinates of the project centroid are 37.952520 degrees latitude, 121.317506 degrees longitude. Photographs of the project site are located in Exhibit 2.

Approach

Following Phase 1 and the selection of the preferred alternative, Phase 2 will involve the planning procedures required to develop environmental compliance documentation, engineering designs/implementation plans, permitting, and a pilot study to facilitate the construction or implementation of the full-scale preferred alternative.

Task 1. Environmental Compliance: An Initial Study/Environmental Assessment (IS/EA) will first be prepared for the preferred alternative, in compliance with CEQA/NEPA. The document will include a project description, environmental checklist, discussion of findings (both significant and less than significant), and an identification of impacts requiring further analysis in an EIR/EIS. A full environmental EIR/EIS will be prepared for the preferred alternative.

Task 2. Design of Preferred Alternative: Information obtained from Phase 1 will be used to finalize the design of a water quality improvement strategy. These designs may be engineering blueprints and specifications if the preferred alternative requires construction. Conversely, these designs may be detailed implementation plans if the preferred alternative requires implementation rather than construction. Finally, it is possible that the preferred alternative will require both engineering blueprints and specifications and an implementation plan.

Task 3. Permitting: As necessary, meetings will be held with representatives of the City, CALFED, US Fish and Wildlife Service, US Army Corps of Engineers, California Department of Fish and Game, Delta Protection Commission, and the Central Valley Regional Water Quality Control Board to discuss permitting strategies and finalize the project process. The goal of the meetings will be to select the best process and required information to obtain all permits.

Task 4. Pilot Study: Pilot testing will consist of installing, operating, and testing a model of the preferred alternative. Pilot test sampling will consist of gathering samples from up to six depths at two different locations near the head of the Channel. A model of the preferred alternative will be installed at one location. The other location will be used as a control. Samples will be analyzed at each location once per week for up to four weeks. An assessment of the model will be made by comparing the sampling results from two locations. A surrogate method, such as Carlson's Trophic State Index, will be used to determine whether the model has impacted algae production, unless algae blooms occur during the study and a visual comparison can be made.

Task 5. Project Management: This task involves progress reporting, scheduling, office administration, general correspondence, contract administration, and invoicing.

Data Collection, Analysis, Quality Assurance

With the exception of the Phase 2 pilot study, all data collection and analysis will occur in Phase 1 (see PROJECT DESCRIPTION) and will be subject to peer review. Engineering blueprints and specifications and implementation plans will also be subject to peer review. Pilot testing in Phase 2 will be conducted as describe above (see Approach, Task 4 Pilot study). The methodology employed and the subsequent data gathered from the study will be statistically analyzed for significance ($\alpha = .05$) and will be subject to peer review.

Monitoring and Assessment Plans

Initial project monitoring will occur in Phase 1 (see PROJECT DESCRIPTION). Phase 2 pilot testing, though, will consist of installing, operating, and testing a model of the preferred alternative. Pilot test sampling will consist of gathering samples from up to 6 depths at two different locations near the head of the Channel. A model of the preferred alternative will be installed at one location. The other location will be used as a control. Samples would be analyzed at each location once per week for up to four weeks. An assessment of the model will be made by comparing the sampling results from two locations. A surrogate method, such as Carlson's Trophic State Index, will be used to determine whether the model has impacted algae production unless algae blooms during the study and a visual comparison can be made. Since the preferred alternative is currently unknown, the design and functional nature of the study is unknown.

Post-construction/implementation monitoring will also be conducted at the conclusion of Phase 3 (implementation) to evaluate the effectiveness of the preferred alternative in meeting the goals of CALFED and improving the water quality. This monitoring data would be compared to the data collected in Phase 1. As such, post-construction/implementation monitoring efforts would have to gather at least a portion of the data characterizing the Channel (e.g., water temperature and depth, pH, dissolved oxygen, dissolved reactive phosphorous, nitrate, blue-green algae, etc.). Moreover, monitoring would have to be conducted in a similar fashion (e.g., location and technique) as in Phase 1 to provide comparable data.

Data Handling and Storage

All data either gathered for or identified by the project will be compiled into an electronic format. The data will be stored with both the City and CALFED so that CALFED may make the data accessible as it deems appropriate.

Expected Products/Outcomes
Phase 2 will produce reports describing preliminary and final engineering blueprints and design specifications/implementation plans for the preferred alternative, the actual blueprints/implementation plans, draft and final EA/EIRs, official permits, and a pilot study experimental design. Presentations will be made to the City Council to describe the planned reports (e.g., Phase 1 final report, final EA/EIR, etc.) and gain official adoption by the Council. All other workshops, seminars, and education programs will be conducted during Phase 1.

Work Schedule
Please see Exhibit 3 for a detailed schedule complete with project milestones.

Task	Description	Start Date	Finish Date
1	Environmental Compliance	December, 2000	August, 2001
2	Design Preferred Alternative	December, 2000	May, 2001
3	Permitting	December, 2000	August, 2001
4	Pilot Study	June, 2001	July, 2001
5	Project Management	December, 2000	August, 2001

All tasks are considered inseparable since Phase 2 may only be completed upon completion of the tasks listed above. As such, it is not possible to incrementally fund the proposed scope of work.

Approach Feasibility and Appropriateness
Previous studies by Montgomery Watson and Systech Engineering state that water quality improvement is feasible. HDR Engineering is very optimistic about this project's feasibility and cites its past water quality restoration experience as direct evidence of feasibility. HDR Engineering has restored the water quality for the Portland Bureau of Environmental Services, Idaho Division of Environmental Quality, City of Santa Cruz, and City of Rapid City. Moreover, Dr. Geoffrey Schladow, a professional limnologist, has contracted to work with HDR Engineering based upon the project's feasibility.

The described approach is appropriate to the proposed work since it mirrors the proposed work performed by HDR Engineering in previous restoration activities and builds upon the existing body of knowledge. Montgomery Watson, Systech Engineering, HDR Engineering, and Dr. Schladow's professional assessments are that Phase 2, when combined with Phases 1 and 3, will improve the water quality. Since the project is expected to meet its objectives, the approach is appropriate. HDR Engineering has been hired by the City with the understanding that time is a critical project factor. Subsequently, the project's approach, scope, use of resources, and cost reflect HDR Engineering's ability to work under strict time constraints.

Contingencies
Phase 2 is entirely dependent upon the outcome of Phase 1 in terms of identifying the preferred alternative to be designed in Phase 2, the environmental and permitting compliance required, and the pilot study design. Phase 2 is also dependent upon Phase 1 for project timing. Since Phase 2 may not start before Phase 1, any delays associated with Phase 1 will also delay Phase 2. Conversely, should Phase 1 be completed ahead of schedule, Phase 2 will be started ahead of schedule. It is anticipated that Phase 1 will be completed in 8 months (December, 2000).

Permits
Since permitting issues will be identified and addressed in Phase 2, it is currently unknown which permits will be required to complete Phase 2. As such, permitting agreements are not currently

under way. There are no other outstanding implementation issues, and this project does not take place on private property. Therefore, permission to access private property is not required.

APPLICABILITY TO CALFED ERP GOALS AND IMPLEMENTATION PLAN AND CVPIA PRIORITES

ERP Goals and CVPIA Priorities

This project relates directly to several ERP goals. By improving the water quality and rehabilitating the natural flow regime, at-risk Delta species are expected to move toward recovery status, and native populations should increase. Such species include the Delta smelt and white sturgeon, which live in the area year-round (e.g. present during all life stages), Chinook salmon species (e.g., winter, fall, late-fall, and spring run species), and other anadromous salmonids which breed or migrate to breeding grounds (e.g., mature life stage) via the San Joaquin River-East Delta areas. Since the aquatic habitat will be improved, Fry will also benefit from the project (e.g., young life stage).

These potential benefits should reduce the need for future threatened and endangered species listings while improving social values (e.g., recreation, fishing, aesthetics, etc.). Specifically, the project is designed to meet the ERP goal of improving water quality.

Relation to Other Ecosystem Restoration Projects

The interaction of the improved Channel water quality and the San Joaquin River may benefit the San Joaquin River DO TMDL process. The TMDL process is currently underway and funded by a CALFED grant and downstream communities by providing higher quality water for environmental restoration, drinking, and crop irrigation.

This project may also benefit Mormon Slough, which connects and discharges into the south side of the Channel just east of Interstate 5. Mormon Slough is currently being studied by the US Army Corps of Engineers (COE) to evaluate the specific scope and nature of ecosystem restoration activities that will be required to restore the natural character of the slough. Restoring the natural conditions will increase the quantity and improve the quality of spawning/breeding grounds of many aquatic and some terrestrial species. The restoration activities identified by the COE are expected to further improve the Channel's water quality, ecosystem functions, and aquatic characteristics.

Request for Next-Phase Funding

The City is currently seeking funding for Phase 2 of the Stockton Channel Water Quality Restoration Program. Phase 1 recently began (April 2000) after a US EPA grant funding was secured and HDR Engineering was hired to perform the investigation. Phase 1 will result in an accumulation of data that will allow Phase 2 to be completed.

Previous Recipients of CALFED or CVPIA Funding

The City has not been a previous recipient of CALFED or CVPIA funds for this issue.

System-Wide Ecosystem Benefits

It is highly likely that the preferred alternative will increase the dissolved oxygen level within the water column. Furthermore, system-wide mixing is expected to increase the interaction between the Channel water and that of the San Joaquin River and eastern Delta in general. This interaction

is expected to benefit the San Joaquin River DO TMDL process which seeks specifically to increase the dissolved oxygen content in the San Joaquin River to benefit aquatic species, including migrating salmon species.

This project will also benefit threatened and endangered species that are awaiting recovery plans as well as those that have such plans. As mentioned, this project, when combined with the Mormon Slough restoration project, will improve the Channel's habitability and increase its role in the health and reproduction of native species. The Mormon restoration project will further improve water quality and provide additional breeding grounds for many aquatic and some terrestrial species.

QUALIFICATIONS

Dr. Wayne S. Smith, P.E., Senior Civil Engineer, will act as the City's Project Manager and will manage the grant funds, payment accounts, and consultant contracts. He has successfully managed a recently completed $70 million flood protection restoration project and is the current Project Manager for the Phase 1 study to select the preferred alternative. He also managed the completion of the Systech Engineering study developing computer modeling of the Stockton Channel. Dr. Smith received his M.S. degree from the University of California, Davis and his Ph.D. from the University of California, Berkeley.

Dave Peterson, P.E., will act as HDR Engineering's Project Manager. He oversees HDR's Water Resources Program in California, and has experience in water resources planning, public involvement, environmental documentation, and permitting. His planning experience includes water supply, integrated water resource, and flood control planning. His design experience includes gravity and pressurized pipelines, river restoration, erosion control, water tanks, dams, spillways, and canals. Mr. Peterson's completed projects include Tuolumne River Restoration for Turlock Irrigation District, Feasibility study for South San Joaquin Irrigation District, Fresno/Clovis Metropolitan Water Resources Management Plan and Plan Update, Merced Water Supply Plan, Initial Watershed Sanitary Survey for Stockton East Water District, Water Contracting Environmental Impact Statement for US Bureau of Reclamation, and San Joaquin Valley Drainage Program. Mr. Peterson has been published in *Erosion Control* and has given presentations at a Floodplain Managers Association Conference and two ASCE conferences. He received his M.S. degree from Montana State University is a registered P.E. in California, Nevada, and Montana.

Dr. Geoffrey Schladow, Professional Limnologist and Associate Professor at the University of California, Davis, will serve as peer reviewer and evaluate the effectiveness of design or implementation plans for the preferred alternative. He has extensive computer modeling and water body destratification experience. Completed projects include Numerical Modeling of Physical Mixing for University of W. Australia, Double Diffusive Mixing Processes and Bubble Plume Dynamics also for University of W. Australia, and Numerical Simulation of Convective Processes with Applications to Lake Mixing for Stanford University. Dr. Schladow has been published in numerous journals for papers discussing water quality modeling and predictions, responses to artificial destratification, bubble plume destratification, double diffuse systems, and nutrient release. He has also given dozens of presentations at conferences hosted by organizations ranging from the American Geophysical Union to the Biennial Congress of the International Solar

Energy Society. Dr. Schladow received his M.E. degree from the University of California, Berkeley and his Ph.D. from the University of Western Australia.

Douglas Brewer of Jones and Stokes Associates will lead the environmental compliance process under subcontract with HDR Engineering. He has 15 years of water quality experience related to environmental impact assessments and is currently involved in the impact assessment of the San Joaquin River DO TMDL process. Completed projects include initial studies of the Coyote Creek Stream Flow Augmentation Project for San Jose, Mountainous Wastewater Treatment Plant Dilution study for San Joaquin County, water quality impact assessments for Contra Costa Water District, Los Vaqueros Reservoir Project, and the Delta Wetlands Project. He also performed EA/EIR/FONSI analyses for US COE, Truce Meadows Flood Control Project, Naptimes Basin Borrow Sites, Deer Creek Flood Control Project, US Fish and Wildlife Service, Westlands Water District, Pacific Gas and Electric, and Pittsburg and Contra Costa Power Plants. Mr. Brewer received his B.S. from Humboldt State University.

Barry O'Regan, P.E., will lead the permitting process for HDR Engineering. He has 12 years of engineering experience, including construction management, municipal engineering, and flood control implementation. He has been involved in permitting for Tuolumne River Restoration Project for Turlock Irrigation District, San Joaquin Area Flood Control Agency's Flood Protection Restoration Project, Raw Water Pipeline Pumping Station for Placer County Water Agency, and Weber Point Redevelopment for Stockton. Mr. O'Regan has a diploma in Civil Engineering from Cork Regional Technical College, Ireland, and a B.S. from the California State University, Sacramento, also in Civil Engineering.

The Phase 2 pilot study will be supervised by Dave Peterson of HDR Engineering. The study design and results will be subject to review by Dr. Geoffrey Schladow, a professional limnologist.

COSTS

Please see Exhibit 4 for the annual and total budget. See table below for salary breakdown.

Title	Annual Salary	Time Commitment (Work Years)	Salary Cost	Benefits (40% salary)
Sr. Civil Engineer	$66,360	.142	$9,430	$3,772
Assistant Civil Engineer	$54,828	.086	$4,715	$1,886
Office Assistant II	$28,716	.066	$1,886	$754
TOTAL			$16,031	$6,412

Travel expenses are budgeted to cover the costs of in-State trips to coordinate and meet with state and federal agency personnel for environmental compliance and permitting activities. There are no Supplies/Expendables or equipment expenses. Service contracts are used to obtain the services for technical experts in the fields of environmental assessment and EIR/EIS reporting, water recirculation, and permitting as described in the "PROPOSED SCOPE OF WORK" section. Please see the below table for consultant names.

Task	Consultant	Consultant Organization	Subconsultants	Subconsultant Organization
1	Dave Peterson	HDR Engineering	Douglas Brewer	Jones & Stokes Associates
2	Dave Peterson	HDR Engineering	Dr. Geoffrey Schladow	UC Davis
3	Barry O'Reagan	HDR Engineering		
4	Dave Peterson	HDR Engineering		
5*	Dave Peterson	HDR Engineering		

*Project management time commitments and responsibilities are split between the City and HDR Engineering.

Overhead Rate

The overhead rate (75.83% of salary for both state and federal grants) is used to cover general project costs such as electricity, building expenses, office equipment, janitorial services, heating and air conditioning, computer assistance, radio and phone service, office supplies (e.g., paper, file folders, etc.), duplicating, general insurance, and garage maintenance.

Project Management

The table below describes the specific costs to the City for project management (Task 5). The total cost of project management is split between HDR Engineering and the City.

Project Management Activity	Costs (Salary and Travel)
Progress Reporting	$4,567
Work in Progress Inspection	$3,426
Contract Administration	$4,567
Scheduling	$2,284
Office Administration	$2,284
General Correspondence	$2,284
Invoicing	$3,426
TOTAL	$22,838

Cost Sharing

There are no other funding commitments for Phase 2 of the project. Phase 1, however, was funded by a grant from US EPA. That EPA grant required the City to provide a 5% match.

LOCAL INVOLVEMENT

During the preparation of the environmental documents, the City will solicit the community's input and concerns surrounding the project. During this solicitation period, key stakeholders and influential members of the community, such as the Delta Keeper environmental organization, will be contacted. A database of civic and environmental organizations, elected officials, government staff, adjoining property owners, Port of Stockton staff, marina residents, eyewitnesses, etc. will be established and used to distribute information to the community. In addition, a newsletter describing the project and the results of Phase 1 will be distributed to the community.

COMPLIANCE WITH STANDARD TERMS AND CONDITIONS

The City will comply with the state and federal standard terms.

LITERATURE CITED

CALFED Bay-Delta Program. 2000. Ecosystem Restoration Projects and Programs: 2001 Proposal and Solicitation Package.

Montgomery Watson. 1997. Alternative Water Quality Improvement Technologies for the Weber Point Area. Prepared for the City of Stockton.

Systech Engineering, Inc. 1999. Alternatives to Eliminate Excessive Bluegreen Algae at Weber Point of Stockton Channel. Prepared for the City of Stockton.

Exhibit 1. USGS quad map of project area (approximately 1:24,000).

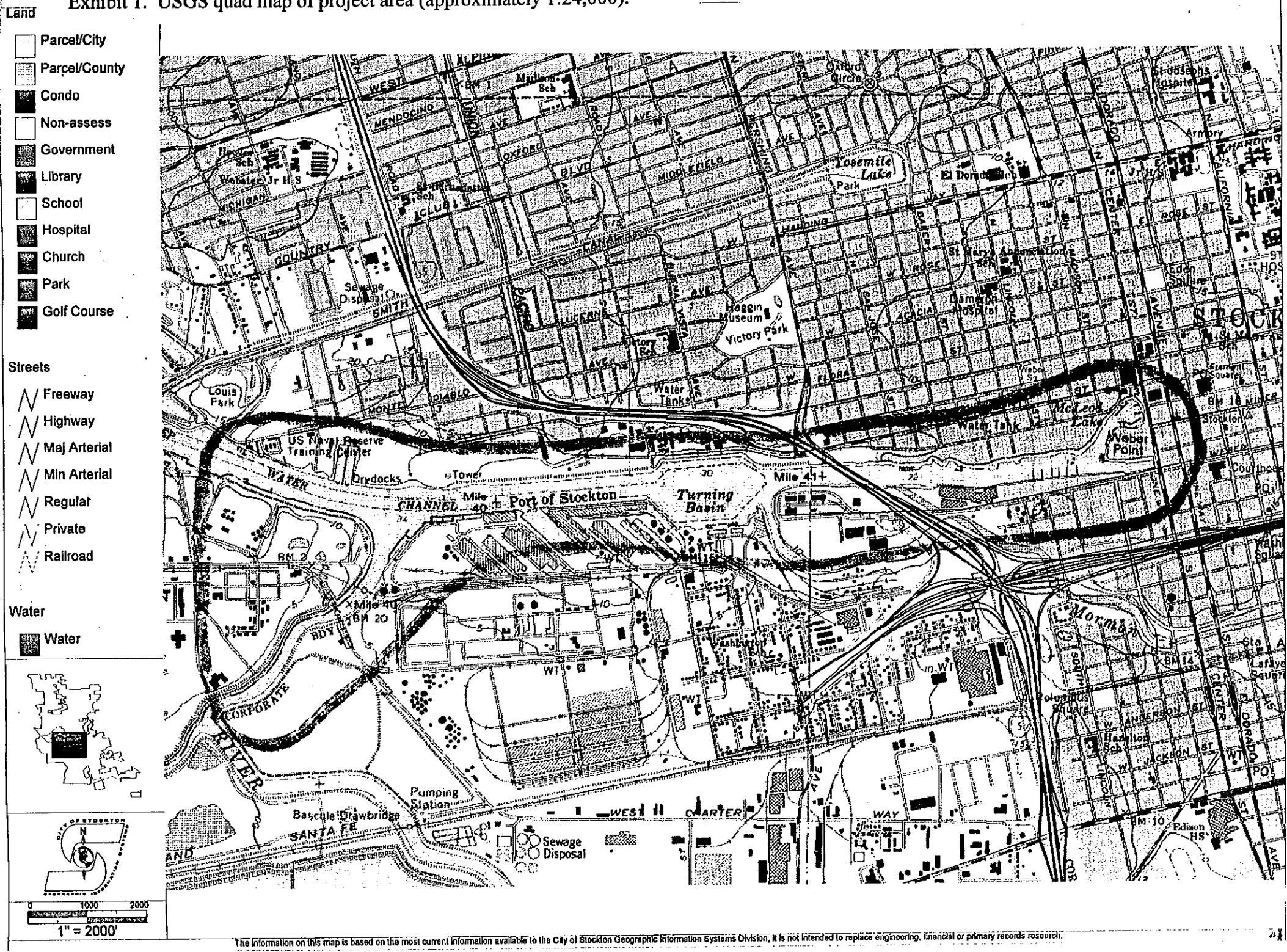
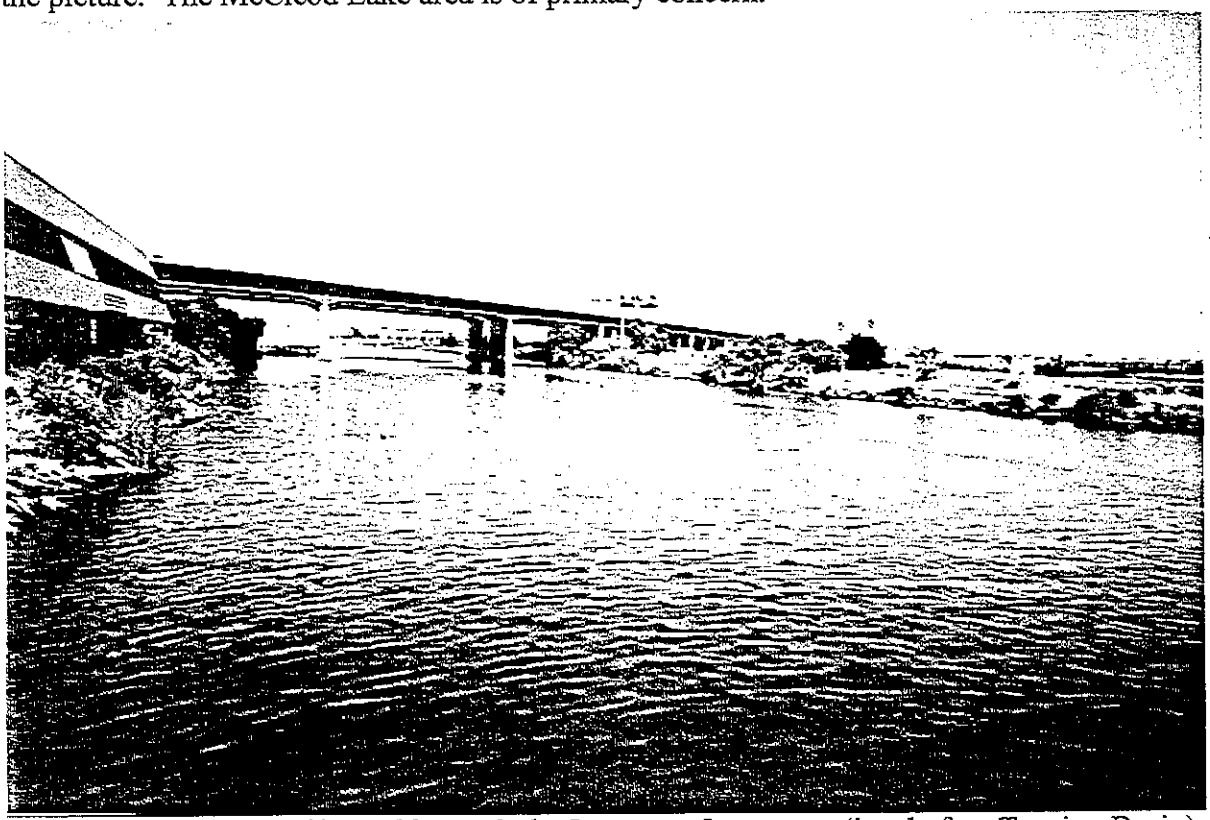


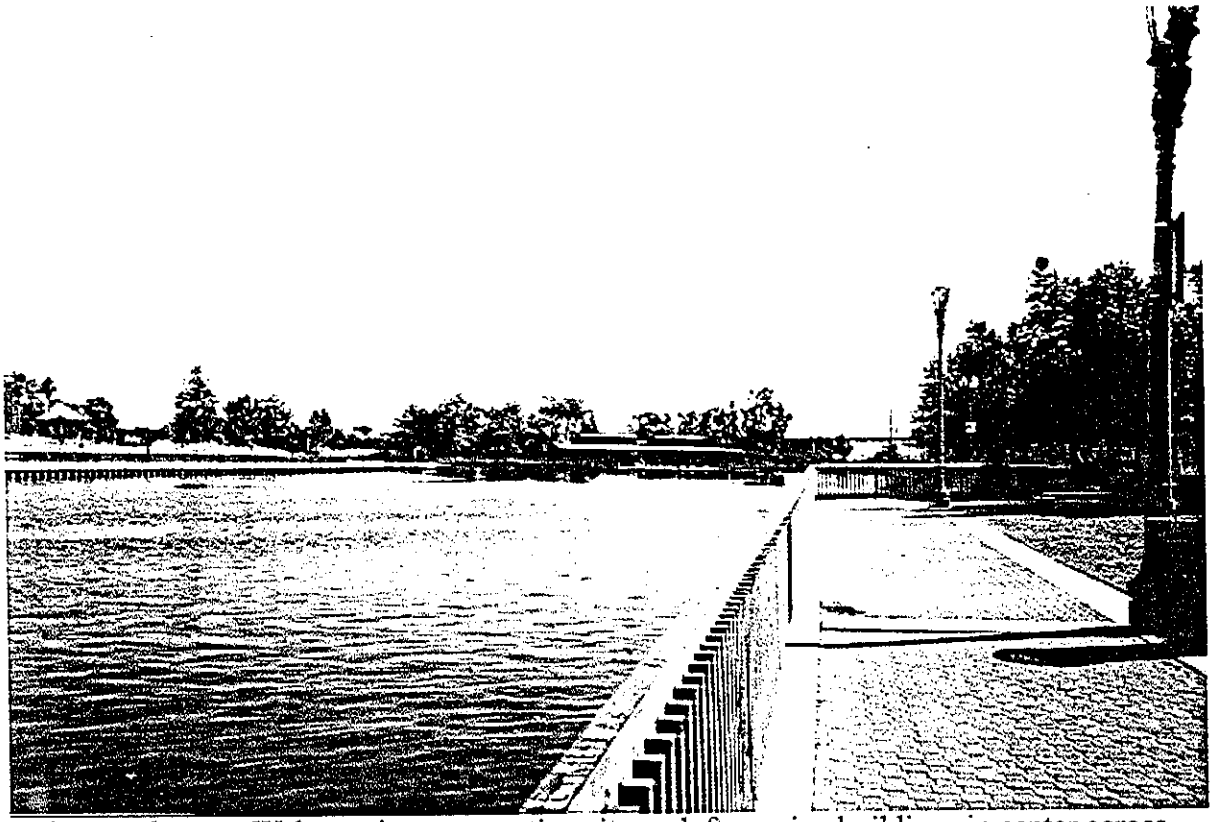
Exhibit 2. Photographs of the project site.

Facing East. Debris, biological growth, and a dead fish in McCleod Lake, the easternmost portion of the Stockton Channel. The pillars of the McCleod Lake amphitheater can be seen at the top of the picture. The McCleod Lake area is of primary concern.

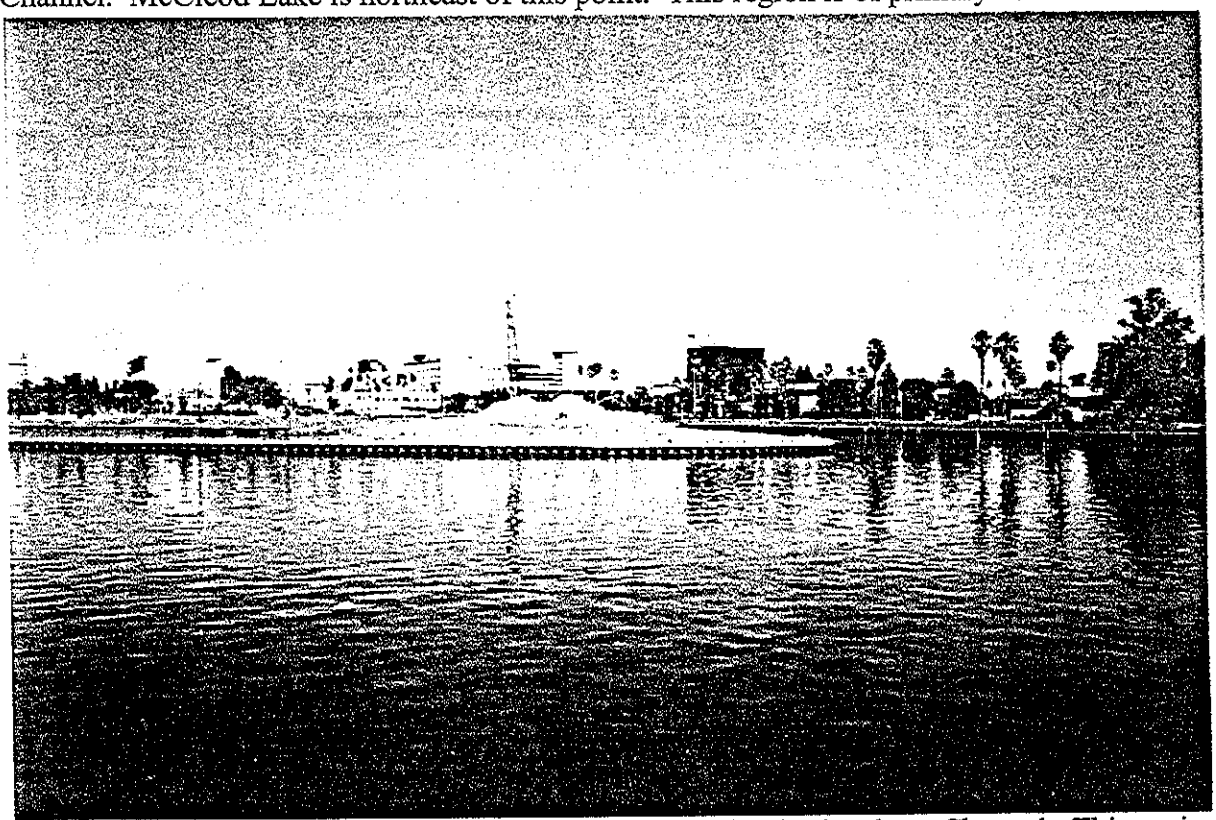


Facing east. Stockton Channel beneath the Interstate 5 overpass (just before Turning Basin).

Exhibit 2. Photographs of the project site.



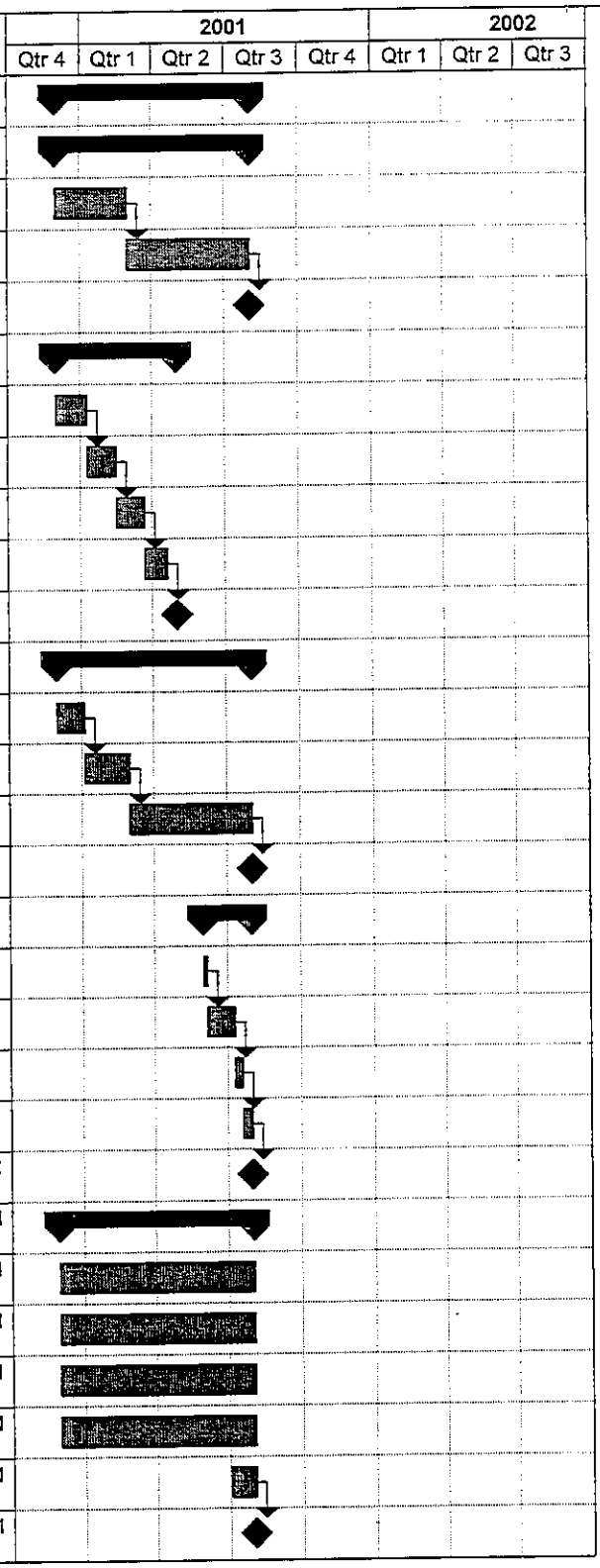
Facing southwest. Weber point construction site on left, marina buildings in center across Channel. McCleod Lake is northeast of this point. This region is of primary concern.



Facing East. Weber Point construction site surrounded by the Stockton Channel. This region is of primary concern.

Exhibit 3. Detailed project schedule.

ID	Task Name	Duration	Start	Finish
1	**PHASE 2**	**174d**	**12/1/00**	**8/1/01**
2	**Environmental Compliance**	**174d**	**12/1/00**	**8/1/01**
3	Initial Assessment	65d	12/1/00	3/1/01
4	Final EA/EIR/EIS	109d	3/2/01	8/1/01
5	Council Approve Final EA/EI	0d	8/1/01	8/1/01
6	**Design Preferred Alternative**	**108d**	**12/1/00**	**5/1/01**
7	30% Design	28d	12/1/00	1/9/01
8	50% Design	26d	1/10/01	2/14/01
9	75% Design	26d	2/15/01	3/22/01
10	90% Design	20d	3/23/01	4/19/01
11	FInal Design Completed	0d	5/1/01	5/1/01
12	**Permitting**	**174d**	**12/1/00**	**8/1/01**
13	Initial Agency Meetings	25d	12/1/00	1/4/01
14	Prepare Applications	40d	1/5/01	3/1/01
15	Permitting Process	109d	3/2/01	8/1/01
16	Permits Secured	0d	8/1/01	8/1/01
17	**Pilot Study**	**43d**	**6/1/01**	**7/31/01**
18	Setup	3d	6/1/01	6/5/01
19	Monitoring	24d	6/6/01	7/9/01
20	Data Analysis	8d	7/10/01	7/19/01
21	Final Report	8d	7/20/01	7/31/01
22	Council Approve Final Repor	0d	7/31/01	7/31/01
23	**Project Management**	**174d**	**12/1/00**	**8/1/01**
24	Progress Reporting	174d	12/1/00	8/1/01
25	Prepare Council Issues & Re	174d	12/1/00	8/1/01
26	Coordinate Meetings	174d	12/1/00	8/1/01
27	Design Review	174d	12/1/00	8/1/01
28	Prepare Final Project report	23d	7/2/01	8/1/01
29	Present Final Report to Cou	0d	8/1/01	8/1/01



Project: PHASE 2
Date: 4/26/00

Task
Progress
Milestone
Summary
Rolled Up Task
Rolled Up Milestone
Rolled Up Progress

Exhibit 4. Proposed budget.

Year	Task	Direct Labor Hours	Subject to Overhead: Salary	Benefits	Travel	Supplies & Expendables	Service Contracts	Overhead (75.83%)	Exempt from Overhead: Equipment	Graduate Student Fee Remission	Total Cost
Year 1	1. Environmental Compliance	525					$52,500				$52,500
	2. Design Preferred Alternative	875					$87,500				$87,500
	3. Permitting	394					$39,380				$39,380
	4. Pilot study	350					$35,000				$35,000
	5. Project Management	525	$12,021	$4,808	$295	$0	$26,250	$9,116	$0	$0	$52,490
Total Cost Year 1			$12,021	$4,808	$295	$0	$240,630	$9,116	$0	$0	$266,870
Year 2	1. Environmental Compliance	175					$17,500				$17,500
	3. Permitting	131					$13,120				$13,120
	4. Design Preferred Alternative	350					$35,000				$35,000
	5. Project Management	175	$4,010	$1,604	$100	$0	$8,755	$3,041	$0	$0	$17,510
Total Cost Year 2			$4,010	$1,604	$100	$0	$74,375	$3,041	$0	$0	$83,130
Total Project Cost			$16,031	$6,412	$395	$0	$315,005	$12,157	$0	$0	$350,000

Attachment A. Compliance With California State Requirements.

STATE OF CALIFORNIA

NONDISCRIMINATION COMPLIANCE STATEMENT

STD. 19 (REV. 3-95)

COMPANY NAME

City of Stockton

The company named above (herinafter referred to as "prospective contractor") hereby certifies, unless specifically exempted, compliance with Government Code Section 12990 (a-f) and California Code of Regulations, Title 2, Division 4, Chapter 5 in matters relating to reporting requirements and the development, implementation and maintenance of a Nondiscrimination Program. Prospective contractor agrees not to unlawfully discriminate, harass or allow harassment against any employee or applicant for employment because of sex, race, color, ancestry, religious creed, national origin, physical disability (including HIV and AIDS), medical condition (cancer), age (over 40), marital status, denial of family care leave and denial of pregnancy disability leave.

CERTIFICATION

I, the official named below, hereby swear that I am duly authorized to legally bind the prospective contractor to the above described certification. I am fully aware that this certification, executed on the date and in the county below, is made under penalty of perjury under the laws of the State of California.

OFFICIAL'S NAME

Dwane Milnes, City Manager

DATE EXECUTED	EXECUTED IN THE COUNTY OF
May 11, 2000	San Joaquin

PROSPECTIVE CONTRACTOR'S SIGNATURE

PROSPECTIVE CONTRACTOR'S TITLE

City of Stockton

PROSPECTIVE CONTRACTOR'S LEGAL BUSINESS NAME

City of Stockton

Attachment B. Compliance With Federal Requirements.

OMB Approval No. 0348-0043

APPLICATION FOR FEDERAL ASSISTANCE

2. DATE SUBMITTED	Applicant Identifier
3. DATE RECEIVED BY STATE	State Application Identifier
4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier

1. TYPE OF SUBMISSION:

Application	Preapplication
☐ Construction	☐ Construction
☒ Non-Construction	☒ Non-Construction

5. APPLICANT INFORMATION

Legal Name: City of Stockton

Organizational Unit: Public Works Dept.

Address *(give city, county, State, and zip code)*: 425 N. El Dorado Street, Stockton, CA 95202

Name and telephone number of person to be contacted on matters involving this application *(give area code)*: Dr. Wayne S. Smith (209) 937-7900

6. EMPLOYER IDENTIFICATION NUMBER *(EIN)*: 94-6004436

7. TYPE OF APPLICANT: *(enter appropriate letter in box)* C

A. State; B. County; C. Municipal; D. Township; E. Interstate; F. Intermunicipal; G. Special District; H. Independent School Dist.; I. State Controlled Institution of Higher Learning; J. Private University; K. Indian Tribe; L. Individual; M. Profit Organization; N. Other (Specify) _____

8. TYPE OF APPLICATION:

☒ New ☐ Continuation ☐ Revision

If Revision, enter appropriate letter(s) in box(es) ☐ ☐

A. Increase Award B. Decrease Award C. Increase Duration
D. Decrease Duration Other*(specify)*: _____

9. NAME OF FEDERAL AGENCY: CALFED

10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: ☐☐-☐☐☐

TITLE:

11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT: Water Quality Study-Engineering blueprints, environmental documents permits, and pilot study to improve water quality and reduce blue green algae blooms

12. AREAS AFFECTED BY PROJECT *(Cities, Counties, States, etc.)*: Stockton, San Joaquin County

13. PROPOSED PROJECT

Start Date: 12/1/00 Ending Date: 8/1/01

14. CONGRESSIONAL DISTRICTS OF:

a. Applicant: 11th Congressional Dist. b. Project: 11th Congressional Dist.

15. ESTIMATED FUNDING:

a. Federal	$ 350,000.00
b. Applicant	$ .00
c. State	$ .00
d. Local	$ .00
e. Other	$ .00
f. Program Income	$ .00
g. TOTAL	$ 350,000.00

16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?

a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON:

DATE _____

b. No. ☐ PROGRAM IS NOT COVERED BY E. O. 12372
☒ OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW

17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?

☐ Yes If "Yes," attach an explanation. ☒ No

18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.

a. Type Name of Authorized Representative	b. Title	c. Telephone Number
Dwane Milnes	City Manager	(209) 937-8457

d. Signature of Authorized Representative: Dwane Milnes

e. Date Signed: May 11, 2000

Previous Edition Usable
Authorized for Local Reproduction

Standard Form 424 (Rev. 7-97)
Prescribed by OMB Circular A-102

INSTRUCTIONS FOR THE SF-424

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

Item:	Entry:
1.	Self-explanatory.
2.	Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable).
3.	State use only (if applicable).
4.	If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.
5.	Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.
6.	Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.
7.	Enter the appropriate letter in the space provided.
8.	Check appropriate box and enter appropriate letter(s) in the space(s) provided: – "New" means a new assistance award. – "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date. – "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.
9.	Name of Federal agency from which assistance is being requested with this application.
10.	Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.
11.	Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.
12.	List only the largest political entities affected (e.g., State, counties, cities).
13.	Self-explanatory.
14.	List the applicant's Congressional District and any District(s) affected by the program or project.
15.	Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate *only* the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
16.	Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.
17.	This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.
18.	To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)

OMB Approval No. 0348-0044

BUDGET INFORMATION - Non-Construction Programs

SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. Water Quality		$	$	$ 350,000	$	$ 350,000
2.						
3.						
4.						
5. Totals		$	$	$ 350,000	$	$ 350,000

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY (1) Water Quality	(2)	(3)	(4)	Total (5)
a. Personnel	$ 16,031	$	$	$	$ 16,031
b. Fringe Benefits	6,412				6,412
c. Travel	395				395
d. Equipment					
e. Supplies					
f. Contractual	315,005				315,005
g. Construction					
h. Other					
i. Total Direct Charges *(sum of 6a-6h)*	337,843				337,843
j. Indirect Charges	12,157				12,157
k. TOTALS *(sum of 6i and 6j)*	$ 350,000	$	$	$	$ 350,000
7. Program Income	$ None	$	$	$	$ 0

Authorized for Local Reproduction

Standard Form 424A (Rev. 7-97)
Prescribed by OMB Circular A-102

Previous Edition Usable

SECTION C - NON-FEDERAL RESOURCES

(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8.	$	$	$	$
9.				
10.				
11.				
12. TOTAL *(sum of lines 8-11)*	$	$	$	$

SECTION D - FORECASTED CASH NEEDS

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	$ 350,000	$ 87,500	$ 87,500	$ 87,500	$ 87,500
14. Non-Federal					
15. TOTAL *(sum of lines 13 and 14)*	$ 350,000	$ 87,500	$ 87,500	$ 87,500	$ 87,500

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT

(a) Grant Program	FUTURE FUNDING PERIODS (Years)			
	(b) First	(c) Second	(d) Third	(e) Fourth
16.	$	$	$	$
17.				
18.				
19.				
20. TOTAL *(sum of lines 16-19)*	$	$	$	$

SECTION F - OTHER BUDGET INFORMATION

21. Direct Charges:	22. Indirect Charges: Predetermined(see enclosed 1999-00 indirect cost rate)
23. Remarks:	

OMB Approval No. 0348-0040

ASSURANCES - NON-CONSTRUCTION PROGRAMS

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.

2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.

4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.

5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).

6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is $10,000 or more.

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
	City Manager
APPLICANT ORGANIZATION	DATE SUBMITTED
City of Stockton	May 11, 2000

CITY OF STOCKTON, CALIFORNIA

INDIRECT COST RATE PROPOSALS

Based on 1997/98 expenditures
For use in 1999/00 budget

MAXIMUS

Helping Government Serve The People

City of Stockton

Indirect Cost Rate Proposal For
Fiscal Year Ending June 30, 2000

Schedule A

Department/Division	Indirect Cost	Direct Salaries & Wages	Fixed Rates
Housing and Economic Dev	$406,058	$1,059,756	38.32%
Community Development	$860,366	$2,288,742	37.59%
Police Department	$9,067,275	$21,236,866	42.70%
Animal Services	$121,745	$294,065	41.40%
Fire Department	$4,124,922	$13,839,199	29.81%
Public Works - Other	$1,356,306	$1,788,699	75.83%
Library	$3,196,190	$2,864,750	111.57%
Parks & Recreation	$1,783,162	$3,957,213	45.06%
Golf Course	($16,383)	$724,869	-2.26%
Central Parking District	$63,519	$574,511	11.06%
Water Utility	$871,068	$1,959,205	44.46%
Waste Water Utility	$883,768	$5,224,645	16.92%
Landfill	$114,988	$473,581	24.28%
Storm Water	$74,638	$799,225	9.34%
Garden Refuse	$188,662	$473,581	39.84%
Total Costs	$23,096,287	$57,558,907	

City of Stockton

Carry Forward Computation

Operating Departments Indirect Cost Proposal

For The Fiscal year Ending June 30, 2000

Schedule B

Department/Division	(1) 1998 Salaries And Wages	(2) Fixed Rate w/o RF	(3) Recoverable Indirect Cost	(4) Department Indirect Cost	(5) 1998 Actual Central Service	(6) Total Actual 1998 Indirect Cost	(7) Roll Forward	(8) 1998 Plan Indirect Cost
Housing and Redevelop	$1,059,756	31.27%	$331,386	$0	$368,722	$368,722	$37,336	$406,058
Community Developme	2,288,742	50.93%	1,165,656	373,194	639,817	1,013,011	-152,645	860,366
Police Department	21,236,866	47.39%	10,064,151	7,714,393	1,851,320	9,565,713	-498,438	9,067,275
Animal Services	294,065	53.97%	158,707	99,666	40,560	140,226	-18,481	121,745
Fire Department	13,839,199	30.48%	4,218,188	2,996,571	1,174,984	4,171,555	-46,633	4,124,922
Public Works - Other	1,788,699	62.88%	1,124,734	0	1,240,520	1,240,520	115,786	1,356,306
Library	2,864,750	104.00%	2,979,340	2,595,790	491,975	3,087,765	108,425	3,196,190
Parks & Recreation	3,957,213	66.46%	2,629,964	782,649	1,423,914	2,206,563	-423,401	1,783,162
Golf Course	724,869	16.86%	122,213	0	52,915	52,915	-69,298	-16,383
Central Parking District	574,511	31.10%	178,673	0	121,096	121,096	-57,577	63,519
Water Utility	1,959,205	48.61%	952,370	0	911,719	911,719	-40,651	871,068
Waste Water Utility	5,224,645	32.16%	1,680,246	0	1,282,007	1,282,007	-398,239	883,768
Landfill	473,581	27.30%	129,288	0	122,138	122,138	-7,150	114,988
Storm Water	799,225	17.86%	142,742	0	108,690	108,690	-34,052	74,638
Garden Refuse	473,581	17.70%	83,824	0	136,243	136,243	52,419	188,662
Total Costs	**$57,658,907**		**$25,961,479**	**$14,562,263**	**$9,966,620**	**$24,528,883**	**($1,432,596)**	**$23,096,287**

Column

(1) : From Schedule D.
(2) : From Schedule A of 1997-98 ICRP Program
(3) : Column 1 x 2.
(4) : From Schedule D.
(5) : From Schedule C.
(6) : Column 4 + 5.
(7) : Column 6 - 3.
(8) : Column 6 + 7

City of Stockton

Central Services Allocation By Department 2/
For The Fiscal Year Ending June 30, 2000

Schedule C

Department/Division	Central Services Allocation
Housing and Economic Dev /1	$368,722
Community Development	639,817
Police Department	1,851,320
Animal Services	40,560
Fire Department	1,174,984
Public Works - Other	1,240,520
Library	491,975
Parks & Recreation	1,423,914
Golf Course	52,915
Central Parking District	121,096
Water Utility	911,719
Waste Water Utility	1,282,007
Landfill	122,138
Storm Water	108,690
Garden Refuse	136,243
Total Costs	$9,966,620

1/ Data From 1998 (Actual year) A-87 Central Services Allocation Plan - Schedule A.
2/ To Schedule B, Column 5.

CITY OF STOCKTON

Cost Analysis Summary

Actual Expenditures For The Year Ending June 30, 1998 1/

Schedule D

ALL DEPARTMENTS

Department/Division	Total Cost	Unallowable Cost	Department Indirect Cost 2/	Direct Cost	
				Salaries & Wages 3/	All Other
Housing and Economic Dev	$7,729,885	$0	$0	$1,059,756	$6,670,129
Community Development	4,443,867	0	373,194	2,288,742	1,781,931
Police Department	45,580,878	0	7,714,393	21,236,866	16,629,619
Animal Services	614,219	0	99,666	294,065	220,488
Fire Department	27,685,021	0	2,996,571	13,839,199	10,849,251
Public Works - Other	10,663,314	6,012,762	0	1,788,699	2,861,853
Library	7,558,336	0	2,595,790	2,864,750	2,097,796
Parks & Recreation	8,784,794	0	782,649	3,957,213	4,044,932
Golf Courses	1,831,751	0	0	724,869	1,106,882
Central Parking District	1,937,789	0	0	574,511	1,363,278
Water Utility	12,195,342	0	0	1,959,205	10,236,137
Waste Water Utility	25,649,635	0	0	5,224,645	20,424,990
Landfill	2,496,941	0	0	473,581	2,023,360
Storm Water	4,417,917	0	0	799,225	3,618,692
Garden Refuse	2,496,941	0	0	473,581	2,023,360
Total Costs	164086630	$6,012,762	$14,562,263	$57,558,907	$85,952,698

1/ This summary is a summary of Schedules D.1 through D.14.

2/ To Schedule B, Column 4.

3/ To Schedule B, Column 1.

CITY OF STOCKTON

Cost Analysis Summary

Actual Expenditures For The Year Ending June 30, 1998

Schedule D.5

PUBLIC WORKS DEPARTMENT

Description	Total Cost	Unallowable Cost (1)	Department Indirect Cost	Direct Cost	
				Salaries & Wages	All Other
PUBLIC WORKS (ORGS IN COST PL	$6,012,762	$6,012,762			
OTHER PUBLIC WORKS ORGS	$4,650,552			$1,788,699	$2,861,853
Total Department	$10,663,314	$6,012,762	$0	$1,788,699	$2,861,853

U.S. Department of the Interior

Certifications Regarding Debarment, Suspension and Other Responsibility Matters, Drug-Free Workplace Requirements and Lobbying

Persons signing this form should refer to the regulations referenced below for complete instructions:

Certification Regarding Debarment, Suspension, and Other Responsibility Matters - Primary Covered Transactions - **The prospective primary participant further agrees by submitting this proposal that it will include the clause titled, "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.** See below for language to be used; use this form for certification and sign; or use Department of the Interior Form 1954 (DI-1954). (See Appendix A of Subpart D of 43 CFR Part 12.)

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions - (See Appendix B of Subpart D of 43 CFR Part 12.)

Certification Regarding Drug-Free Workplace Requirements - Alternate I. (Grantees Other Than Individuals) and Alternate II. (Grantees Who are Individuals) - (See Appendix C of Subpart D of 43 CFR Part 12.)

Signature on this form provides for compliance with certification requirements under 43 CFR Parts 12 and 18. The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of the Interior determines to award the covered transaction, grant, cooperative agreement or loan.

PART A: Certification Regarding Debarment, Suspension, and Other Responsibility Matters - Primary Covered Transactions

CHECK __ IF THIS CERTIFICATION IS FOR A PRIMARY COVERED TRANSACTION AND IS APPLICABLE.

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

PART B: Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions

CHECK __ IF THIS CERTIFICATION IS FOR A LOWER TIER COVERED TRANSACTION AND IS APPLICABLE.

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

DI-2010
March 1995
(This form consolidates DI-1953, DI-1954, DI-1955, DI-1956 and DI-1963)

PART C: Certification Regarding Drug-Free Workplace Requirements

CHECK __ IF THIS CERTIFICATION IS FOR AN APPLICANT WHO IS NOT AN INDIVIDUAL.

Alternate I. (Grantees Other Than Individuals)

A. The grantee certifies that it will or continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an ongoing drug-free awareness program to inform employees about–
(1) The dangers of drug abuse in the workplace;
(2) The grantee's policy of maintaining a drug-free workplace;
(3) Any available drug counseling, rehabilitation, and employee assistance programs; and
(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will –
(1) Abide by the terms of the statement; and
(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted –
(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check __ if there are workplaces on file that are not identified here.

PART D: Certification Regarding Drug-Free Workplace Requirements

CHECK __ IF THIS CERTIFICATION IS FOR AN APPLICANT WHO IS AN INDIVIDUAL.

Alternate II. (Grantees Who Are Individuals)

(a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;

(b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to the grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

PART E: Certification Regarding Lobbying
Certification for Contracts, Grants, Loans, and Cooperative Agreements

CHECK __ IF CERTIFICATION IS FOR THE AWARD OF ANY OF THE FOLLOWING AND THE AMOUNT EXCEEDS $100,000: A FEDERAL GRANT OR COOPERATIVE AGREEMENT, SUBCONTRACT, OR SUBGRANT UNDER THE GRANT OR COOPERATIVE AGREEMENT.

CHECK __ IF CERTIFICATION IS FOR THE AWARD OF A FEDERAL LOAN EXCEEDING THE AMOUNT OF $150,000, OR A SUBGRANT OR SUBCONTRACT EXCEEDING $100,000, UNDER THE LOAN.

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, and officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

As the authorized certifying official, I hereby certify that the above specified certifications are true.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL 

TYPED NAME AND TITLE Dwane Milnes, City Manager

DATE May 11, 2000

DI-2010

March 1995

(This form consolidates DI-1953, DI-1954, DI-1955, DI-1956 and DI-1963)

Attachment C. Notice to Local Government Departments.

MEMORANDUM

April 26, 2000

TO: Katherine Gong Meissner, City Clerk

FROM: Wayne S. Smith, Public Works Senior Civil Engineer

SUBJECT: **STOCKTON WATER QUALITY RESTORATION STUDY CALFED GRANT PROPOSAL**

The City has decided to retain HDR Engineering, Inc. to execute Phase 1 of the Stockton Water Quality Restoration Study. Phase 2 involves environmental compliance documentation (e.g., EIR/EIS), 100% design documents for the preferred alternative that will be selected at the end of Phase 1 (anticipated to be December, 2000), obtaining implementation permits, and performing a pilot study of the preferred alternative. A copy of the Phase 2 proposal for grant funding that will be submitted to CALFED is attached for your information as required in the grant proposal. If you have any questions, please contact me at x7900.

Wayne S. Smith

WAYNE S. SMITH
SENIOR CIVIL ENGINEER

Attachment: Proposal

::ODMA\GRPWISE\COS.PW.PW_Library:5116.1 (CALFED grant memo to City Clerk)

MEMORANDUM

April 26, 2000

TO: Sam Mah, Deputy Director of Planning

FROM: Wayne S. Smith, Public Works Senior Civil Engineer

SUBJECT: **STOCKTON WATER QUALITY RESTORATION STUDY CALFED GRANT PROPOSAL**

The City has decided to retain HDR Engineering, Inc. to execute Phase 1 of the Stockton Water Quality Restoration Study. Phase 2 involves environmental compliance documentation (e.g., EIR/EIS), 100% design documents for the preferred alternative that will be selected at the end of Phase 1 (anticipated to be December, 2000), obtaining implementation permits, and performing a pilot study of the preferred alternative. A copy of the Phase 2 proposal for grant funding that will be submitted to CALFED is attached for your information as required in the grant proposal. If you have any questions, please contact me at x7900.

Wayne S. Smith

WAYNE S. SMITH
SENIOR CIVIL ENGINEER

Attachment: Proposal

::ODMA\GRPWISE\COS.PW.PW_Library:5115.1 (CALFED grant memo to planning Department.)